



BOARD OF ETHICS

2010 Annual Report

King County Code of Ethics
Helping Employees Make Ethical Decisions

King County Board of Ethics

2010 ANNUAL REPORT

January 1, 2010, through December 31, 2010

MEMBERS

Roland H. Carlson
Gunbjorg Ladstein
Bruce C. Laing, Chair
Louise Miller
Anne J. Watanabe

EXECUTIVE DIRECTOR

Catherine A. Clemens

BOARD COUNSEL

Kathryn Killinger

KING COUNTY EXECUTIVE

Dow Constantine

DEPARTMENT OF EXECUTIVE SERVICES

Robert Cowan, County Administrative Officer and Director
Caroline Whalen, County Administrative Officer and Director



King County

King County Board of Ethics

Department of Executive Services

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Alternative Formats Available



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King County

King County Board of Ethics Department of Executive Services

March 2011

King County Executive Dow Constantine
Metropolitan King County Council Chair Larry Gossett
Members of the Metropolitan King County Council
Separately Elected Officials

The Board of Ethics is proud to present the Annual Report of our activities and accomplishments during 2010. The report is organized around the mission and goals adopted during the Board's annual retreat in January 2010, and based upon the provisions of the King County Code of Ethics. In addition, the report makes clear how the work of the Board and its office closely aligns with the King County Strategic Plan.

Underlying the ethics code and the Board's activities is the proposition that public trust in King County government depends upon decision-making processes that are transparent and meet the highest ethical standards. Our approach to implementing the ethics code is to emphasize the prevention of code violations. The employee education programs of the Ethics Office and the requirements for annual employee and consultant financial disclosure statements are essential elements in the prevention strategy.

King County elected officials and managers are crucial to the prevention of ethics code violations. When county employees perceive that their leadership enthusiastically supports the ethics code and ethics programs they give more serious consideration to the ethics issues they encounter in their daily activities. We appreciate the time and attention the Council and the Executive allocate to annual meetings with the Board, and the participation of county leadership in the celebration of the ethics program at the Board's annual reception.

Sincerely,

Bruce C. Laing, Chair

Roland H. Carlson

Gunbjorg Ladstein

Louise Miller

Anne J. Watanabe



Report Summary

Serving King County Since 1972

Achievements of Board and Staff

- Provided in-person training to more than 1,000 employees or approximately 9% of all county employees.
- Achieved 99.8% filing compliance associated with the financial disclosure program for affected employees and elected officials by the April 15th deadline, and achieved 98.4% filing compliance for board and commission members by that date.
- Conducted the seventh annual, on-line ethics quiz and survey for county employees with direct access to computers in which 18% of 12,000 employees participated.
- Held informational meetings with the executive and presented before the County Council; held eight public meetings; and hosted the annual leadership reception for department directors and deputies, and separately elected county officials.

Goals and Performance Measures

Goal I: Educate County Employees. Ethics staff made 58 presentations, providing education and training to 1,027 county employees with a focus on new employees, board and commission members, human resources personnel, and employees managing the financial disclosure program within their departments. This number represents a decrease from previous years due to a reduction in resources; however, it is planned that ethics training to supervisors will resume in 2011. To raise employee awareness and refresh their knowledge, the office conducted the annual, on-line ethics quiz and survey for county employees in October in which 18% of 12,000 county employees with direct computer access voluntarily participated. The executive director reported results of the quiz and survey to leadership and employees in November and posted the information on the ethics website as well. In addition, the ethics office sent periodic broadcast emails to employees on timely ethics issues throughout the year, such as receipt of gifts and engaging in campaign activities.

Goal II: Continue Systematic Review of the Ethics Code.

Continuing work begun in 2009, the board saw its proposed amendment approved by the County Council on February 26, 2010. Among other issues, Ordinance 16758 amended King County Code 3.04 to raise the threshold dollar amount triggering the consultant disclosure requirement.

Goal III: Provide Advice and Guidance.

The Board of Ethics believes that prevention is a key element to compliance with the Code of Ethics. The Ethics Help Line, created in 2003, serves as a means to which employees may seek advice before they act and allows them to make ethical decisions. The executive director responded to approximately 170 requests for information on ethics issues by phone, and provided written responses to over 160 additional ethics requests. The Board of Ethics issued no advisory opinions in 2010. All previous opinions are posted on the ethics internet website at www.kingcounty.gov/ethics.

Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program.

This goal supports the Executive's Strategic Plan to ensure the public's trust through transparency. As of the filing deadline of April 15, 2010, 99.8% of the 2,955 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050; 98.4% of the 512 affected county board and commission members had filed. Under the consultant disclosure program, approximately 235 contractors and vendors filed consultant disclosure forms with the ethics office as required by K.C.C. 3.04.120. Each statement and disclosure form was individually reviewed by the executive director for completeness and potential conflicts. Forms requiring additional or explanatory information were returned to the filer; audited forms are required to be returned to the ethics office within two weeks.

Goal V: Collaborate with Other Ethics Agencies.

The Board of Ethics maintained its membership in the International Council on Governmental Ethics Laws (COGEL), and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.



The King County Board of Ethics

Mission

To ensure the highest standards of public service by developing, disseminating and promoting readily understandable ethics requirements for King County employees and agencies.



Authority

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

The Board

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The board is assisted by a full-time executive director located in a central office. The board and executive director are also advised by legal counsel from the prosecuting attorney's office. Together, they serve more than 12,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is appointed by the executive based upon nominations from the other board members.

The Board held eight meetings in 2010 and members maintained a 97% attendance record. During the annual board retreat held on Monday, January 25, the board approved the 2009 annual report, the 2010 business plan, and the 2010 mission and goals. Copies of all documents may be obtained by visiting the ethics website and by contacting the ethics office.

2010 Goals

Goal I:

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.

Goal II:

To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.

Goal III:

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.

Goal IV:

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

Goal V:

To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.



2010 Initiatives

In addition to its activities expressly authorized under the Code of Ethics, the board actively pursued additional initiatives in 2010 as follows.

Collaboration with Human Resources Division

Since 2008, the ethics board and office have worked collaboratively with the Human Resources Division (HRD) to build ethics appreciation and compliance into the county performance management process. The four identified goals are:

1. Ensure the on-going ethics requirement for filing disclosure statements;
2. Add an ethics component in annual evaluations;
3. Include an ethics interview question for promotions and new positions;
4. Measure ethical conduct through annual reporting on ethics violations.

As 2010 comes to a close, the first and fourth goals are adequately addressed. However, the board and staff continue to work with HRD to advance on the second and third goal, particularly now since HRD is in the process of creating new evaluation systems.

Technology and Social Media

The Board of Ethics invited employees who are leaders in the field of social media within county government to join the board in a discussion of this topic. The aim was to become informed about the benefits and challenges of this fast-paced and

rapidly changing technology as it relates to ethics. Additional speakers who met with the board on this and other topics included J Patrick Dobel, Ph.D., University of Washington; John Dienhart, Ph.D., Seattle University; Amy Calderwood, King County Ombudsman; and Kelli Williams, King County Public Disclosure Officer.

Annual Leadership Reception

Board members hosted the annual reception for county leadership on September 22, 2010. Executive Dow Constantine and County Council vice Chair Jane Hague made brief remarks on the importance of ethics in county government. The event was attended by department directors and deputies, separately elected officials, and ethics partners, among others. Through this annual event, the board aims to maintain positive relationships throughout the county and keep officials informed and aware of the importance of ethics within county government.



The King County Board of Ethics Aligns with the King County Strategic Plan

The 2010 – 2014 Strategic Plan was created by Executive Constantine with input from thousands of residents and county employees over a period of 18 months, and was developed in collaboration with the King County Council and the county's separately elected officials. The Board of Ethics and executive director support this initiative by aligning their work to meet a number of its goals. Please note that these responses are specific in nature and penetrate to the identified objectives and individual strategies within the over-arching goals.

Goal: Environmental Sustainability.

Safeguard and enhance King County's natural resources and environment.

Response:

- Beginning in 2009, the Board of Ethics 'went green' to reduce paper waste and increased efficiency. We placed financial disclosure forms online for ease of access and compliance, and reduced the number of pages necessary to be filed from six to one.

Goal: Service Excellence.

Establish a culture of customer service and deliver services that are responsive to community needs.

Responses:

- Customer service is a priority in the ethics office with a 24-48 hour response time to inquiries. (See page 17 for details on employee inquiries). Results from the 2010 annual ethics quiz and survey regarding quantity and quality of contacts revealed increased requests for advice and information; high ratings for information that helped in decision-making; and high satisfaction levels with a timely, courteous, quality experience.
- We foster an ethic of working together for One King County through collegial work teams. The Ethics Partners are a dynamic enterprise between the ethics office and county departments to support ethical decision-making and actions by employees and elected officials. Partners are human resources service delivery managers in each department who work with ethics staff on ethics-related communications, issues, needs assessments, and services.
- The board of Ethics strives for internal collaboration and recognizes the value for two-way communication. To foster these relationships, it hosts an annual reception for elected leadership, and department directors and deputies. Besides maintaining positive relationships throughout the county and keeping officials informed and aware of the importance of ethics within our government, the board takes this opportunity to publically recognize employees who are positive role models related to ethical ideals and who work strategically and collaboratively with the ethics office.
- Ethics staff has created a single point-of-contact for questions and comments for its customers through the Ethics Help Line, a popular telephone resource that provides a direct link to a live person to help solve ethical dilemmas and report problems. Employees and citizens alike may access the line, and it's confidential.
- The ethics website is available to anyone having access to a computer. The user-friendly site contains all information related to the Code of Ethics, the board and its office, and the services they provide. The site is always up-to-date.



Goal: Financial Stewardship.

Exercise sound financial management and build King County's long-term fiscal strength.

Response:

- The Board of Ethics and director serve employees and elected officials county-wide with five board members and one full time staff. Since 2007, the office has returned to the county an average of \$29,103 annually from its appropriated funds.

Goal: Quality Workforce.

Develop and empower King County government's most valuable asset, our employees.

Response:

- The director provides in-person training to well over 1,000 county employees annually, including county supervisors, general staff, board and commission members, and those with specialized functions such as human resources and contract responsibilities.



Board of Ethics Members



ROLAND H. CARLSON

*Acting Chair
1994 – present*

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal management on missile system basing and management of the Boeing Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5 years as a Research and Development Officer in the U.S. Air Force. Key assignments included nuclear blast and shock experiments on structures at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including Chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He has authored numerous professional papers and journal articles.



GUNBJORG LADSTEIN

*Member
2008 – present*

Gunbjorg Ladstein's professional experience includes working as a Transportation Planner for King County, retiring in 2006. Her work experience also includes working as Program Consultant for United Way of King County and Systems Engineer for IBM.

Gunbjorg is a long time member of the League of Women Voters of Seattle and served on the Board of Directors and as President. She served on the Washington State Boundary Review Board of King County, including a term as Chairperson. She also has served on various other citizens committees, including Citizens Water Rate Advisory Committee, Citizens Advisory Committee for Selection of Seattle School Superintendent, Committee to Select Consultant for Sewer Rate Study for City of Seattle Engineering Department, and King County Elections Advisory Committee. Gunbjorg currently serves on the board of Norse Home and the Northwest Washington Synod Evangelical Church of America Council.

Gunbjorg is a graduate of the University of Washington with a degree in Business Administration. She is a member of Phi Beta Kappa.



BRUCE C. LAING

Chair

2008 – present

Bruce Laing is a member of the College of Fellows, American Institute of Certified Planners. He has been a professional urban planner for more than forty years. His planning career includes a wide variety of experiences: King County Zoning & Subdivision Hearing Examiner, Proprietor of a planning and government relations consulting firm, Planner for a land development firm, Planning Program Administrator U.S Department of Housing and Urban Development, Planner for an engineering consulting firm, and Member Central Puget Sound Growth Management Hearings Board.

Bruce was elected to the King County Council in 1979 and served in that office through 1995. During his tenure on the King County Council he also served on the Central Puget Sound Regional Transit Authority Board (now Sound Transit), on the Executive Board of the Puget Sound Regional Council (PSRC), and on the Council of the Municipality of Metropolitan Seattle (METRO).

Bruce is a graduate of Seattle University and holds the degree Master of Urban Planning from the University of Washington.



LOUISE MILLER

Member

2010 – present

Louise Miller graduated with a B.A. in music from San Jose State University in 1966. She taught music in Seattle schools and had a private music studio for many years.

Louise started her political career in 1978 when she was elected a Woodinville Water/Sewer Commissioner. She then served 11 years in the State House of Representatives and eight years on the King County Council, retiring at the end of her second term in December 2001.

Currently Louise is a board member of the Seattle Center Foundation, a vice president of the Seattle Opera Board of Trustees and a co-chair of the Mainstream Republicans.



ANNE J. WATANABE

Member

2007 – present

Anne Watanabe is the Deputy Hearing Examiner for the City of Seattle, and has served in that capacity since 1995. She conducts quasi-judicial hearings and issues decisions and recommendations based upon the hearing record and the applicable laws. Prior to her work at the City of Seattle, Anne was a land use planner for the cities of Kent and Bellevue, a planner with the state Department of Ecology, a managing editor for a legal publisher, and also worked in private practice as an attorney.

Anne is a Seattle native, receiving her law degree and Masters in Urban Planning at the University of Washington. She is a member of the Washington State Bar Association. She previously served on the Board of the Municipal League of King County and as a volunteer with Refugee Women's Alliance and the King County Bar Association Neighborhood Clinics.



Board Members and Staff 1983 - 2010

Board of Ethics Members – Past and Present

Judith Woods, Ph.D.
1983 – 1992

Hubert Locke, Ph.D., Chair*
1984 – 1987

J. Patrick Dobel, Ph.D., Chair
1987 – 1996

Timothy Edwards, Esq., Chair
1989 – 1996

Rev. Paul F. Pruitt
1992 – 2008

Lois Price Spratlen, Ph.D., Chair
1994 – 2009

Roland H. Carlson, Acting Chair
1994 – *present*

Lembhard G. Howell, Esq.
1996 – 2002

Judge Paul M. Feinsod
1997 – 1999

Margaret T. Gordon, Ph.D.
1999 – 2008

Jerry Saltzman
2003 – 2007

Anne J. Watanabe, Esq.
2007 – *present*

Bruce C. Laing, Chair
2008 – *present*

Gunbjorg Ladstein
2008 – *present*

Louise Miller
2010 – *present*

Board of Ethics Staff – Past and Present

Margaret A. Grimaldi, Administrator
1992 - 1997

Catherine A. Clemens, Executive Director
1997 – *present*

**“Chair” indicates the member served in that capacity during his or her tenure on the board. Roster based on available information.



Staff and Budget



CATHERINE A. CLEMENS

Executive Director

1997 – present

As executive director to the office of the Board of Ethics, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 12,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers. In addition, she manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public, and provides written informational responses upon request.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for employees, elected officials, and board and commission members, as well as the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. She also publishes advisory opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials. She maintains a comprehensive website: www.kingcounty.gov/ethics/.

Ms. Clemens received a Master of Public Administration from the University of Washington's Evans School of Public Affairs. She is a member of Phi Beta Kappa.

Kathryn Killinger

Senior Deputy Prosecuting Attorney

King County Prosecuting Attorney's Office

Counsel to the Board of Ethics

2009 - 2010

Ms. Killinger provides legal counsel to the board and executive director on all ethics-related matters.

Budget for Calendar Year 2010

Budget allocation:	\$201,275
Allocation spent:	\$172,002
Amount returned to county:	\$ 29,723
Staff positions:	1.0 Full time staff



Goals and Performance Measures

Goal I – Education and Training

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.



AWARENESS CAMPAIGN

Created in 2003, the goals of the awareness campaign are to raise employee awareness of the Code of Ethics, the Board of Ethics, ethics office, and the resources they provide; to help employees make ethical decisions; and to help ensure the public's trust in King County government. As part of this continued work, the ethics staff produced the seventh annual, on-line quiz and survey for county employees and sent periodic broadcast emails to employees on timely ethics issues throughout the year, such as receipt of gifts and engaging in campaign activities. The ethics website was kept current and relevant to the needs of county employees and the general public, since the site represents a significant informational and educational tool for the Board of Ethics.

ETHICS PROMOTION AND MEASUREMENT INITIATIVE

The office of the Board of Ethics continues to seek promotion of and measurements for ethical conduct within King County through the Human Resources Division (HRD). The aim is to capitalize on existing ethics requirements and current HRD roles and responsibilities, to enhance both agencies and to help ensure high ethical standards for

employees and elected officials. Currently HRD provides the ethics office with quarterly reports based on the findings of its weekly pre-disciplinary review committee, highlighting cases in which the county imposed discipline specific to violations of the Code of Ethics. This information helps to guide the focus of training and education conducted by the ethics staff. In 2010, only 4% of these discipline cases involving suspensions from work or termination of employment were for ethics violations, most of which related to inappropriate use of county resources. This low percentage of ethics violations from the overall number of cases may be linked to the ethics awareness program, a powerful prevention and education tool. The 2010 quiz and survey and executive summary are available on the ethics Web site and by contacting the ethics office. Quizzes and related reports from previous years may also be found there.



Goal I – Education and Training (continued)

ETHICS QUIZ AND SURVEY

The Board of Ethics and staff conducted the seventh annual on-line ethics quiz and survey from October 4 through 22, 2010.



King County

2010 Ethics Quiz and Survey *Executive Summary*

King County Board of Ethics—Helping Employees Make Ethical Decisions

What We Learned

- Employee participation remains consistent and indicates a significant level of interest in county ethics.
- Employees demonstrate a solid, basic understanding of the King County Code of Ethics based on the high percentage of correct responses.
- The Ethics Help Line is a 'go to' resource to help employees make ethical decisions and discuss concerns.
- Ethics office customer service—including timeliness and courtesy—rated high for callers.

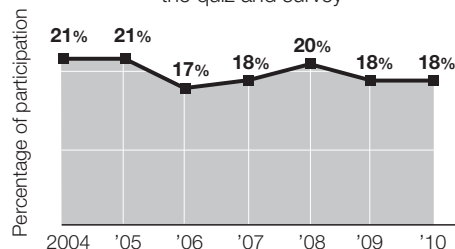
Opportunities

- Department leaders could increase employee participation by echoing the executive's message and encouraging or requiring their employees to take the quiz.
- Discover cost-effective ways in which those employees without direct access to computers may take part.

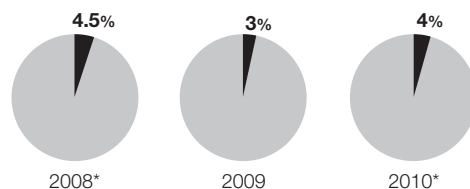


EDUCATION = PREVENTION = FEWER ETHICS VIOLATIONS = TRUST IN GOVERNMENT

EDUCATION = Employees take the quiz and survey

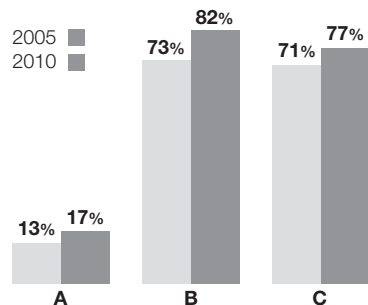


FEWER ETHICS VIOLATIONS = Discipline involving suspensions from work or termination of employment compared to ethics related violations



(*Based on available data received from HRD – 3 out of 4 yearly quarters reported)

PREVENTION = Employees contact the Ethics Office for help (2005 vs 2010)



- A Yes, I have contacted the ethics office for information on an ethics matter.
- B The information I received met my needs completely or helped me make a decision.
- C I would describe the quality of my experience, including timeliness and courtesy, as very satisfying or satisfying.



Goal I – Education and Training (continued)

Page 2

Quiz/survey objectives

- Raise employee awareness of the Code of Ethics, the Board of Ethics and its office, and the resources they provide.
- Help employees make ethical decisions.
- Help ensure the public's trust in King County government.

"GREAT improvements have been made over the years and I am very grateful for the benefits of understanding the 'why' [of our ethics rules]. THANK YOU!!"

KING COUNTY EMPLOYEE RESPONSE TO ETHICS QUIZ

Respondent knowledge of quiz

Overall, employees responded correctly to nine questions; the average overall correct response rate was 97.5%.

2010 Ethics quiz and survey—description

The Board of Ethics conducted the seventh annual on-line ethics quiz and survey from October 4 through 22, 2010. The board believes that education is an effective tool for encouraging ethical practices in King County, and understands that knowledge about the ethics code allows employees to follow its road map for fair dealings. The result is public trust and confidence, which are essential to the valuable work performed by all King County employees.

"I'm so glad I called you. This is very easy to understand and will be very helpful. Thanks again!"

EMPLOYEE RESPONSE TO ADVICE ON ACCEPTANCE OF GIFTS

Distribution method and response rate

Executive Constantine announced the quiz on October 4 via countywide email, voicing his support and inviting participation; a reminder followed on October 15. The quiz and survey remained open for completion for three weeks until October 22. Over 2,000 employees voluntarily participated in the quiz, approximately 18% of employees with direct access to computers. This compares closely with past years.

Demographics

Generally, the participation rates of respondents per department matched the department's relative employee population within county government. Supervisors numbered 26%; non-supervisory participants numbered 74%.

"Prevention is the most important way to drive down costs."

SCOTT ARMSTRONG, CEO, GROUP HEALTH COOPERATIVE, BE THE DIFFERENCE LEADERSHIP FORUM



King County

Department of Executive Services **Board of Ethics**

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Goal I – Education and Training (continued)

TRAINING AND EDUCATION OVERVIEW

In 2010, Ethics staff made 58 in-person presentations, providing education and training to 1,027 county employees. Staff focused on new employees, board and commission members, human resources personnel, and employees managing the financial disclosure program within their departments. By focusing on new employees, the ethics office helps to ensure these individuals have an awareness of the code before beginning work, and the knowledge of how to seek guidance when ethical dilemmas arise. A focus on supervisory staff is important to help develop skills in identifying and resolving ethics-related issues and, therefore, to lead others more effectively.

Year	Presentations	Hours	Participants
1994 - 2001	14 – 36	11 – 91	600 - 1318
2002	43	37.75	1,043
2003	64	76.00	1,785
2004	94	47.75	1,505
2005	120	87.50	2,222
2006	84	49.75	2,141
2007	78	48.25	1,924
2008	72	49.25	1,890
2009	79	53.00	1,514
2010	58	17.50	1,027

These numbers represent a significant decrease from all employee categories from previous years due to a reduction in resources; the centralized training agency which advertised and coordinated mandatory ethics supervisor seminars was eliminated and ethics office staff was reduced to 1 FTE. However, it is planned that ethics training to supervisors will resume in 2011, finding an opportunity to link into the manager training courses currently under consideration by HRD. It is essential that ethics training for supervisors continue to be mandatory to ensure the county is lead by informed leaders.

CLASSES

Education and training for county employees is the first goal and priority of the Board of Ethics. To meet that goal, the executive director conducted weekly, mandatory orientations for new county employees through the Human Resources Division (HRD). The orientations included an overview of the ethics code and an introduction to the ethics board and office. New employees received a Summary of the Code of Ethics, an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors and customers. Employees are encouraged to contact the ethics board and office as a resource to help them make ethical decisions in the workplace.

Previously, the executive director also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRD Supervisor Training Program. These courses included a comprehensive review of the code, an introduction to the ethics board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas. As noted above, our goal is to find an opportunity to link into the manager training courses currently under consideration by HRD.

INFORMAL PRESENTATIONS

The executive director offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group.

SPECIALIZED TRAINING

Additional training sessions focused on groups with specialized functions. These may include human resources personnel; board members; department leadership; and staff liaisons and department coordinators with responsibilities related to the financial disclosure program.



Goal I – Education and Training (continued)

TECHNOLOGY

The Board of Ethics Web site located at www.kingcounty.gov/ethics/ is available to any employee or citizen with Internet access, and continues to serve as an important resource for immediate ethics-related information and education. Resource content includes the Code of Ethics and related summary in plain language; all advisory opinions issued by the board in their full text; all rules and procedures; disclosure programs and

related requirements and forms; ethics publications and recent news; information on the board and its office; the current and historical meeting schedules, agendas and minutes; and board initiatives such as the Statement of Principles and the annual reception and related ethics award-winners. Employee, board member, and consultant disclosure forms are also available on the website and may be filled out on-line. (A copy of the ethics home page is attached to this report.)

PUBLICATIONS AND AWARENESS MATERIALS

The executive director published and distributed the following publications and awareness materials in 2010:

- **Summary of the Code of Ethics**—a summary of the ethics code in plain language with examples; required to be received by all new employees.
- **Ethics Help Line Card—Helping Employees Make Ethical Decisions**—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county work—distributed to all county employees.
- **You And King County: Doing Business with Contractors, Vendors, Clients, and Customers**—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—distributed to both employees and contractors, vendors, and customers.
- **Members of King County Boards, Commissions and Other Multi-Member Bodies**—a brochure for volunteer citizens, highlighting ethics code provisions that affect their services on county boards and commissions.
- **Advisory Opinion Subject Index and Summary Guide**—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and issue date—distributed in supervisor seminars and to county leadership and upon request.
- **2009 Annual Report**—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- **Ethics Poster**—12" x 17" poster with tear-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distributed throughout the county.
- **Post It-Note Pads**—3" x 4" post-it pads in the likeness of an Ethics Help Line card for office use and to serve as a reminder of the ethics resources available to employees—distributed throughout the county.

Goal II – Review of the Code of Ethics

To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and county council.



Continuing work begun in 2009, the board saw its proposed amendment approved by the County Council on February 26, 2010. Ordinance 16758 generally revised outdated or incorrect references within the King County Code 3.04, including the threshold dollar amount triggering the consultant disclosure requirement and raising it to \$5000.



Goal III – Advice and Guidance

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.



ADVISORY OPINIONS

The Board of Ethics issued no advisory opinions in 2010.

STAFF INFORMATIONAL RESPONSES

The executive director issues staff informational responses (SRI) in which she provides a written response to employee inquiries on situations in which the code and existing advisory opinions have already been applied to an analogous issue. In 2010, she issued 130 SRIs and frequent issues included: use of county resources; acceptance of gifts, meals, or attendance at events; conflict with official position; campaign activities; post-employment; outside or secondary employment; conflict for county board members; and conducting solicitation or fundraising. Because existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the ethics board.

TELEPHONE INQUIRIES

Phone consultations help resolve ethics-related questions by providing employees and supervisors with the information they need to make common sense decisions. In addition to reviewing the situation and providing clarifying information, the executive director encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the director responded to over 460 telephone calls; this figure does not reflect outgoing calls placed by the ethics staff or e-mail messages. Ethics related calls lead with 184 responses to employee inquiries; others included 76 questions on employee and board member financial disclosure; 22 public requests for ethics information; 13 inquiries on the requirement for consultant disclosure; and 29 ethics-related questions referred to other agencies. Of the 184

Year	Ethics Advisory Opinions	Staff Informational Responses
1991	30	
1992	16	
1993	26	Not issued prior to 1994
1994	28	12
1995	25	15
1996	10	15
1997	8	42
1998	4	44
1999	1	21
2000	0	70
2001	0	77
2002	0	87
2003	0	69
2004	0	159
2005	1	135
2006	0	130
2007	0	140
2008	1	167
2009	0	135
2010	0	130
TOTAL	150	1,448

ethics-related inquiries responded to by the ethics office, issues included – in order of frequency – use of county resources for personal convenience or profit; acceptance of gifts/meals/things of value from those doing business or seeking to do business with the county; conflict with an employee's official job responsibilities; use of county equipment or funds for personal convenience; post-employment provisions; outside or secondary employment for county employees; and nepotism.



Goal IV – Disclosure Programs

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflict of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

EMPLOYEES AND ELECTED OFFICIALS

As of the April 15th deadline, 99.8% of the 2,955 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. The executive director provided notices and regular reporting to the County Executive, County Council, the Ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received optional orientations in January as well as comprehensive informational packets to assist them in their role, and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

BOARD AND COMMISSION MEMBERS

As of the April 15th deadline, 98.4% of the 512 county board and commission members had filed statements of financial and other interests as required under K.C.C. 3.04.050. As with employee

statements, the executive director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Staff liaisons received optional orientations in January and informational packets, and the financial disclosure coordinator provided weekly communications on board and commission member filing status during the program period.

CONSULTANT DISCLOSURE

Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional, technical or engineering services to the county in an amount exceeding \$2,500 must file a sworn statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed approximately 235 consultant disclosure forms in 2010. (The 2010 forms continue to be filed in early 2011.) All forms are individually reviewed and the executive director may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

Year	Board Members and Commissioners (# and % compliance on 4/15)	Employees and Elected Officials (# and % compliance on 4/15)	Consultant Disclosure Statements (# of filings)
2003	448 - 99%	2,119 - 99%	299
2004	461 - 97%	2,302 - 99%	301
2005	432 - 96.8%	2,411 - 99.7%	300
2006	432 - 98.4%	2,432 - 99.8%	252
2007	445 - 98.2%	2,461 - 99.4%	253
2008	502 - 99.2%	2,766 - 99.7%	238
2009	507 - 97.6%	2,897 - 99.8%	185
2010	512 - 98.4%	2,955 - 99.8%	235



Goal V – Collaboration with Other Ethics Agencies

To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.



The Board of Ethics maintained its membership in the International Council on Governmental Ethics Laws (COGEL), although staff has been unable to participate in conferences due to budgetary restrictions. The executive director is an active

member of the local Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations, and attends quarterly meetings.



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King County Board of Ethics Web Page

King County Board of Ethics

http://www.kingcounty.gov/employees/ethics.aspx

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King County Board of Ethics
Helping employees make ethical decisions

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- Ethics code (complete)
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Materials provided by this office are available in alternate format for individuals with disabilities, upon advance request. Call (206) 296-1586 V or 1-800-833-6388 TTY.

King County Board of Ethics

Our services include:

- Ethics Help Line 206-296-1586
- [Advisory Opinions](#)
- [Education and Training](#)
- [Awareness Campaign](#)
- [Disclosure Programs Administration](#)
- [Appeal Hearings](#)

Let us hear from you!

To continue to provide quality service and to further improve it, we solicit and welcome your feedback. Please [e-mail us your comments, suggestions, questions and concerns](#). Thank you.

Contact/public disclosure officer information:

Web	www.kingcounty.gov/ethics
Call	206-296-1586 (711 TTY)
Fax	206-205-0725
E-mail	board.ethics@kingcounty.gov
Address	Dept. of Executive Services King County Board of Ethics Executive Director: Catherine A. Clemens 401 Fifth Avenue, Suite 131 Seattle, WA 98104-1818

Updated: March 2, 2011

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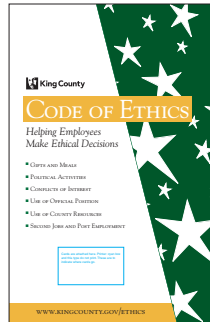
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Board of Ethics: Year in Pictures

JANUARY

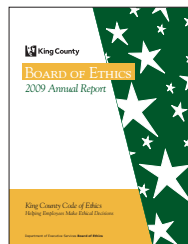
New poster



New ethics posters with tear-off Help Line Cards go up on walls throughout the county

MARCH

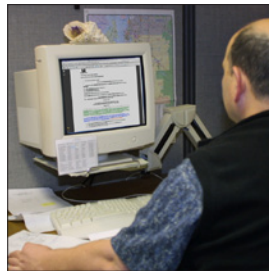
2009 Annual Report



The Board of Ethics publishes its 2009 Annual Report for county-wide distribution

APRIL

Financial Disclosure Program



Successful transparency program achieves 99.8% filing compliance for employees by April 15th deadline

JULY

Miller appointed



Louise Miller appointment completes five-member Board of Ethics

SEPTEMBER

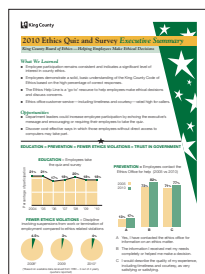
Annual Leadership Reception



The Board of Ethics hosts its annual luncheon reception to raise awareness and celebrate ethics with top county leaders

OCTOBER

Ethics quiz and survey



2010 ethics survey reveals an increase in Help Line use; an increase in needs met with ethical decision-making; and an increase in satisfaction with the quality of interaction with ethics office